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ABSTRACT

Information from the 1988 annual forum of the Association for Institutional Research (AIR) is presented. The focus is on interests, roles, and responsibilities of AIR members. Speakers focus on the theme of promoting quality through leadership, looking at the important role of managerial leadership in the development, implementation, and measurement of quality education. Papers are as follows: "The Importance of Education in International Competition" (keynote address, Lester C. Thurow); "Leadership in American Culture" (Barbara Kellerman); "Living Nervously: Institutional Research as the President's Bodyguard" (John S. Daniel); and "The Careers of AIR Members" presidential session (Laura E. Saunders, William F. Lasher, Joseph T. Sutton, and Lois E. Torrence). (SM)

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Promoting Quality through Leadership

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General Session Presentations
28th Annual Forum
Association for Institutional Research
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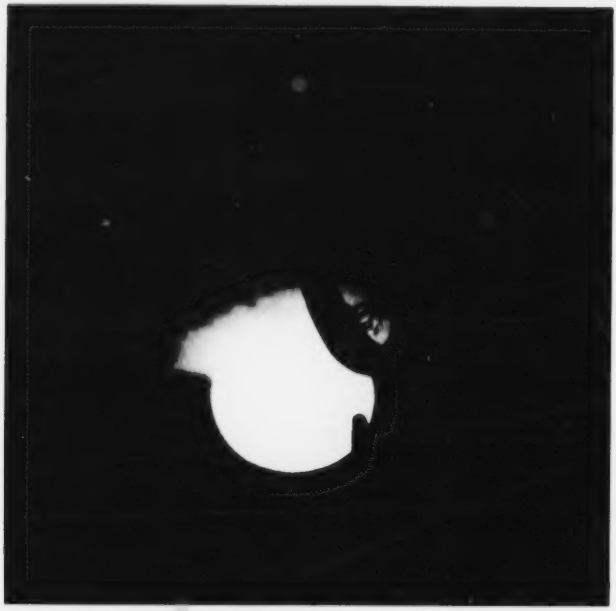

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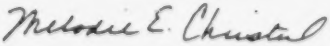
INTRODUCTION

The Twenty-Eighth Annual Forum of the Association for Institutional Research continued with past traditions and provided a program rich in learning experiences and opportunities. The 1988 Forum marked the third year that the program was organized along functional tracks which were designed to reflect the interests, roles and responsibilities of AIR members. The general sessions, with such outstanding speakers as Lester Thurow, the Professional Development Opportunities (PDOs), workshops, practica, and symposia rounded out the professional learning environment of the 1988 Forum.

The general session addresses are contained in this volume. The speakers focused on the Forum theme, "Promoting Quality through Leadership" and discussed the crucial role of managerial leadership in the development, implementation, and measurement of quality education. The presidential session looked at institutional research career paths.

This volume is intended to provide a glimpse into the program of the 28th Forum and to encourage the readers to attend next year's Forum.



Melodie E. Christal
Forum Chair

The Importance of Education in International Competition
(keynote address)

Lester C. Thurow, Dean
Sloan School of Management, Masssachusetts Institute of Technology

(This is an edited record of an address presented in the Regency Ballroom of the Hyatt Regency Hotel, in Phoenix, Arizona, on Sunday evening, May 15, 1988.)

If you were a Frenchman, you could always start with a proposition. The proposition was that the French were superior. But, damn it, those Germans and English were always there, challenging you, militarily, economically and culturally. You always had to face that powerful counterculture on your border. That's precisely where the United States has never been before and this is precisely where it is going. We have lived in a society with no powerful countercultures. Nothing to the east and the west of us. Canada was effectively empty and Mexico was poor. We looked only at ourselves. What we have to do is to take that powerful counterculture which telecommunications and transportation have now put on our border. Let us see our own culture and then think about change.

Human beings don't love to change. Yet the business we collectively are all going to be in for the next fifteen years is to meet those countercultures on our border or we will be just another superpower that used to be a superpower and is no longer.

A few months ago, I was at the University of Missouri at Kansas City giving some lectures and I was reading the Kansas City Star. This was the week after the stock market crash. I looked at the front page the first day and I said to myself, "My God, there is not a single article on the front page of this paper about the rest of the world." For the next three mornings that I was in Kansas City I started to count not just the front page but every page of the Kansas City Star. In those three days there were precisely two articles about the rest of the world in the Kansas City Star. One was about a bus caught in a snow storm in Tibet which had some Americans aboard and the other was about opening up the safe of the Titanic. Two human interest stories but not a single serious story about the rest of the world. We can't afford that anymore. The question is: How are we going to start to look outward as opposed to looking inward?

If you look at the American economy at the moment, it is important to understand that it is in a very different position. Back in 1945, the American economy was 75% of the world gross national product (GNP). When you talked about the world economy, you were talking about us. We had a per capita income twice that of the next best country in the world and eight times that of the Japanese. Today we live in an economy that is just 22% of the world GNP. From being three-quarters, we've gone to being less

than one-quarter. Today there are eight other industrial countries in the world that have a per capita GNP above ours: Switzerland, Austria, Germany, Holland, Denmark, Sweden, Norway, and Japan.

If you look at how fast we're growing, either over the last ten years or in the last year, the rate of change and the rate of advancement of our productivity has grown at 0.8% per year. In 1987 it grew at 0.9%. Short term and long term trends are consistent. Over that same period of time, productivity in the rest of the industrial world grew between 3% and 4%. Productivity in the best countries grew at 12%. That puts us in a very different position than you and I have ever been in our economic history.

The easy economic answer to this situation is to simply look at what are the major inputs into anyone's economy. The four are: (a) the quality of the workforce; (b) the amount of capital investment; (c) the level of technology; and (d) the skills of the managers. That's your four person basketball team. Then you look at those four inputs for our other leading industrial economies. If the American input isn't as good as that input abroad you've got to bring the American input up to world class standards which means you either send it to the weight room or you get a new player.

Quantity of Capital in the American Economy

If you look at programmable industrial robots, you will find that there are ten times as many programmable robots in either Sweden or Japan relative to the size of the workforce than there are in the American economy.

Thurow's axiom #1: Most of the time a Japanese or a Swedish worker with a robot beats an American worker without a robot. Not all of the time but most of the time.

How do you plan to compete with one-tenth as many robots as your competitors in the rest of the world? If you ask why we have one-tenth as many robots there is a simple answer. You can't buy robots unless you'll save some of your income to buy robots. The United States has the lowest savings rate of any industrial society in the world at 3.7% in 1987. That was the lowest. The next worst industrial country in the world was Canada at 13%. The Germans saved 14%, the Japanese saved 19% and the Italians are the world's leader on this dimension at 24%. The country that is peculiar is not the Japanese saving 19% but the Americans saving 3.7%.

Now, as an economist, I can easily correct that situation. For an economist, more savings and less consumption are synonyms. In the United States in fact, Americans save 16% of their income, placing it into some savings institution. Those savings institutions then lend 12 percentage points to other Americans to buy consumption goods like recreational vehicles. If you abolish consumer credit you would have a 16% savings rate in the United States tomorrow morning.

The other day, a reporter from one of the Australian newspapers was in my office. I

mentioned the existence of 60 month no down payment car loans. His mouth just absolutely hit the floor. He had never heard of anything either so crazy or so good, depending on how you think about it. The rest of the world doesn't have 60 month no down payment car loans. Until recently, in Japan you had to pay cash for a car. If you want to buy a car in Norway, it's an 80% cash down payment. You can borrow 20% but that 20% has to be repaid in twelve months. If we don't recognize this, we can't compete in the world economy no matter how good we are in these other dimensions. It doesn't take a genius to know that you can't compete investing half as much as Japan and Korea and two-thirds as much as Germany and Holland.

Technology

If you looked at spending on civilian research and development we, in the United States, are now spending about 1.9% of the GNP. Both the Germans and Japanese are spending 2.5% - 2.7% of the GNP.

Thurow's Axiom #2: Most of the time a German engineer with money is better than an American engineer without money. Not all of the time but most of the time.

If you add in military spending, we spend about the same amount. But the problem is whatever the spin-off is from that military spending, it isn't anywhere near big enough to compensate for that extra one per cent of money directly spent on the civilian products.

If you look at military spending in recent years it is very hard to find a spin off. You find much more spin in. The transistor was invented in a telephone laboratory. The semi-conductor chip was invented by an oil well drilling firm. The small computer was built in Steve Jobs' backyard. All of these things had tremendous military implications and they spun in into the military. But you can't think of anything in the last twenty years that has spun out of the military that has had equivalent effects on the economy. Perhaps this is so because the military is going into space and what you need in space is so different from what you need on this earth.

At some point and in some way we are going to have to bring civilian research and development spending up to world class standards. The basic method is through a matter of paying taxes. In every country in the world, one way or another, government pays for most of the research and development that those countries do, simply because of what economists call externalities. It is much too hard for private firms to capture all of the benefits of research and development spending. If you think of that famous Xerox laboratory out in California, it was a failure as far as Xerox is concerned. But out of it came Apple Computer and a number of other very successful companies. The question then is going to be: Are we as a society willing to "up" our intensity level?

Management

Management is something I take a bit of interest in especially now that I've been in a

management school. You can ask yourself the question: Are American managers as good as those in the rest of the world? It's harder to get a quantitative handle on that but not impossible. If you take the latest buzz words in the business school, managers are change agents. Productivity is a measure of how rapidly you are changing. What are change agents in charge of? Is change productivity growth? Then American managers can presumably be measured by how successful they are on the productivity front. Since we have productivity growth at the slowest of any industrial country in the world, it presumably means American managers have something that is not quite right.

The other thing that points in the same direction is a set of anecdotal stories. Somewhere in America there is a lousy facility. The people who own that lousy facility sell it to a foreign corporation. The foreign corporation then replaces the American managers in that facility with foreign managers. People come back about three years later and they discover that facility now has super productivity. Now if that happened only once, you could say it was an anomaly. But if it starts to happen time after time after time, then you've got to start to take it seriously. The problem is we now stand at a point where it is happening time after time after time. You can talk about the Firestone truck tire plants. You can talk about the Motorola television plants in Chicago.

The latest story that everybody talks about is the plant in California which is a joint General Motors/Toyota deal. When that facility was run by General Motors it had the lowest productivity and quality of any automobile assembly facility in North America. It is now run by Toyota with General Motors as a silent partner. It is three years later and it is a low tech plant. It has less than the average number of robots in the average automobile assembly plant in North America. Every worker who works in that plant belongs to the United Automobile Workers union. Every worker who works in that plant worked in the old plant. But the only thing that changed is management. Today that plant has the highest quality and the highest assembly productivity of any assembly facility in North America. In the three year period it has gone from the worst to the best. The only thing that has changed is the managers.

Now that can't be very good advertising for American business schools. I'll give you the bottom line of the story. When you become Dean of a school you start asking different questions than you used to ask. The question I now always ask people is: "What's wrong with MBA's, not just my MBA's, but everybody's MBA's?". I always get a standard answer: "They don't know word one about teamwork. They are great at competing with each other. They're ruthless as hell but they can't work together."

Think about whether that is a general attribute of American education. You work together in American schools. We call that cheating and kick you out. In the first six years of Japanese elementary education there are collective rewards and punishments. If somebody shows up at school late and must stay after school, the whole class stays after school. If somebody writes a good paper and is praised and given a brownie, everybody is praised and gets a brownie. That's a very different educational environment. The question is: "Which one pays off in terms of productivity and performance?".

Let's think about American education because that's the business you and I are in. How does American education, in terms of skills and abilities of the workforce, stack up with the rest of the industrial world? It's the exercise you've got to go through when there is a powerful counterculture on the border. Most Americans, according to the Gallup poll, think American schools are the best in the world. Most Americans think that because they don't pay attention to the rest of the world. What are the facts? Thirteen per cent of the adult American population is functionally illiterate at the fifth-grade reading level. Eight per cent of the native-born Americans are functionally illiterate at a fifth-grade reading level. What fraction of the Japanese do you think are functionally illiterate at a fifth-grade level? The answer is half of one per cent.

We are down to graduating just 72% of the American young people from high school. What fraction of northern Europe, places like Sweden or Germany or Denmark, do you think graduate from high school? About 91% or 92%. We are very proud of the fact that over 50% of our population that graduates from high school goes to college. But since only 72% graduate from high school it means that only 36% go to college which is not as high as a country like Japan which has a smaller percentage of high school graduates that go to college. But since they have a much higher percentage of high school graduates, Japan ends up with a larger proportion of their entire population college-educated as compared to the population college-educated in the United States.

What about those high school graduates who do graduate from high school? Suppose you gave them a math exam and compared it with a math exam given to high school graduates who graduated from a Swedish high school. You would find that American high school students know precisely half as much mathematics as Swedish high school students. Yet, how do you plan to compete in a computerized mathematized world not knowing any mathematics? If you go to Burlington, Vermont you will find America's largest semi-conductor facility owned by IBM. It employs 7,000 people, 5,000 in production, 2,000 in research and development. On the production side every single worker is having to be given algebra. I can guarantee you that Hitachi and Fujitsu, IBM's leading semi-conductor competitors, are not teaching algebra. Everyone they hire knows algebra because to graduate from a high school in Japan you have to have four years of mathematics. To graduate from the average American high school you need only one year of mathematics and it can be at the general level.

We talk about participatory management with assembly line workers doing inventory control at the end of the day. Exactly the same situation occurs. If assembly line workers are going to do inventory control they've got to learn a little operations research. If they are going to learn a little operations research they've got to know a little mathematics. If they haven't learned it in high school they won't be acceptable workers on the automobile assembly lines, not as managers but simply as blue collar workers.

An article in Atlantic a few months ago said it right. The bottom half of the Japanese

workforce beats the bottom half of the American workforce. If you go and ask a Japanese firm in the United States, let's say one of those automobile plants that is set up in Michigan or in Tennessee and ask: "What do you think about your American worker?". They'll say just as good as the workers at home. But what do you expect them to tell the newspapers? We've got a lousy workforce? Ask them privately where it isn't going to show up in the newspapers and they'll tell you the American workforce isn't as good. There are technologies that they can use in Japan but cannot use here because the American workforce is not well educated or skilled enough to learn those technologies.

When you talk about skills, we have a unique gap in American education. What's our training system for those people who graduate from high school but do not go to college? Every other industrial country in the world has a training system or skill giving system for these kinds of people. We have none. In Germany, it's a very elaborate, well worked out apprenticeship program which everyone must take if they are not planning to go to university. There is no such thing as general education which means in the United States that one is not planning to go to college and not planning to learn a skill - it's general education.

In Japan, the training system is done through the companies. With lifetime employment, if a company trains you they know you are going to be there for the rest of your life. They can recoup their training costs. In the United States, companies give very little training. What training they do give is highly specific. Because labour force turnover rates are so high you can't recoup the costs of that kind of training.

We have whole industries going down the tubes for lack of trained labour like the machine tool industry. If you ask: "Why isn't the American balance of payments getting better given that the dollar has gone way down?". One of the answers is machine tools. American machine tool imports are roaring up even though the dollar is plunging down because foreign machine tools are now better than American machine tools. The best American robot can put something within 25 microns of where it belongs. The best Swedish robot can put something within 5 microns. You can sell a Swedish robot at a price premium relative to an American robot because it is a better machine than the American machine.

A few years ago, I was on a committee at MIT. MIT hires some of the most skilled technicians in the world for our scientific laboratories. The kind of people who can take blueprints and build machines that have never been seen before. Somebody noticed that these people at MIT were all 60 years of age. The questions were: "Where did these technicians come from? How are we going to replace them?". The technicians came from Germany and Austria. The answer to how we were going to replace them was not a simple one. Today wages in Germany and Austria are higher than they are in the United States. In the good old days, Germans would come to America to get a higher wage. A German who comes today, including college professors, will make a lower wage in America than he or she will make in Germany. What we used to be able to import in terms of human capital will now be home grown.

The simple fact is we live in a world economy. Those people in Kansas City, although they do not know it, are international managers even though they never leave Kansas City. There is no such thing as an American manager. Even in Kansas City you are going to buy from foreigners, sell to foreigners, compete with foreigners. What have we done in American universities to globalize our students?

At the same time that we have created a global economy, we have cut back on every dimension on those subjects which students might take that you could regard as globalizing them. Twenty years ago, before the Vietnam war, most American universities required a language to graduate. Today, relatively few universities require a language to graduate. If you look at enrolments in foreign history and culture courses, those are the enrolments that have been going down the fastest in American higher education. Foreign history is practically unknown as a subject which students take in American universities. In some sense, those foreign history and culture courses are even more important than the language courses. I can hire a translator but I can't hire somebody to tell me where the other guy is coming from.

Now are we going to globalize the American university at the same time that we seem to be moving precisely in the other direction? I think that one of the major challenges facing American universities is how can we turn that whole system around? The answer is we will turn it around when we have guts enough to stand up and say in some year, 1991 or 1992, that those language requirements are coming back. Language is important as a symbol. It says, "I understand that I'm going to join the world and they are not going to join me.".

In the United States we use some very misleading language like "World Series". There is nothing worldly about it, it's the American series. The only world game is the World Cup and that's soccer and Americans are not very good at soccer. We're going to learn soccer, they're not going to learn baseball. The faster we face up to that reality the better it will be because they're 78% of the world economy and we're 22% of the world economy. In 1992, when the Europeans integrate their economies, the American economy will become triple A ball. The world's biggest economy, the major leagues, will be Europe with 310 million people and a per capita income about half of the United States. We're not used to being demoted to triple A ball.

A year ago, I was asked by Science Magazine to write an article. The topic was: Why are Americans slow to adopt new technologies? Twenty years ago the question would never have been asked. If it had been asked, the editors of this journal would be considered idiots. Today it's a serious question. I have divided the question into three parts: (a) Are we slow to invent new products?; (b) Are we inferior at building new products?; and (c) Are we slow to buy new products?

The interesting thing about it all is that it has a cultural dimension that you have to understand about yourself. Are American consumers slow to buy new products? That's laughable. Aren't we leading edge consumers? We love to spend. But it isn't true. Digital tape recorders have been for sale in Japan for two years. They are not

yet for sale in the United States. Many drugs are for sale in Europe that are not for sale in the United States.

There is an interesting thing about all of these cases. In almost every case that you can find where products exist abroad and don't yet exist in the United States it is due to our legal system. We tie each other up in suing each other. It's the American way. CBS Records was suing Sony to stop digital tape recorders from coming into the United States. That's why Sony bought CBS records. It was cheaper than paying the lawyers. To make an economy work in a modern industrial economy, it has to have a legal system which is cheap, quick, and certain. Ever hear those three words used about the American legal system? It's one of the reasons we're out of the consumer electronics business.

In the fiasco of the Beta-VHS format for the video recorder, the world's electronics companies decided that they would never do that again. It wasn't until it was clear that Beta was whipped that people actually started buying millions of video recorders because nobody wanted to buy the wrong technology. So the European and the Japanese consumer electronics companies now meet regularly to set standards. The American companies can't go saying, "We'd have to bring our lawyers because of anti-trust problems and there are certain things we couldn't talk about." The European and Japanese companies say, "Well if you have to come with your lawyers you don't get to come.". In the good old days, the Japanese and Europeans would simply have had no choice. Our lawyers would have come. But today, they are in a position to say: "You plan by our rules.". So American companies learn those standards eight to twelve months after the Japanese and Europeans have them.

If you look at new products, new inventions it is still a case that America looks like the leader. Recently a group of Europeans sat down and divided all of technology into nine technologies. They tried to identify the fifty people who were the best people in the world in that technology, find out where they were located and rank countries. The United States was a clear first in five out of the nine technologies with a tie for first and second place in two technologies and two second places. Now if you have this, clearly you're number one. But something was different. The gap between number one and two was small; there was a definite number two on the playing field. Every place we were number one, Japan was number two. Every place we were tied for number one, we were tied with Japan. Every place we were number two, Japan was number one. Japan has a publicly announced policy to be number one in all nine of those technologies by 1995. Also by 1995, Japanese civilian research and development spending is pledged to rise from 2.7% of GNP to 3.5%. A challenger is on the field who is just as wealthy as we are. A challenger is on the field who has a powerful counterculture. The question is: "Is the challenger going to win?". He may very well win.

Now the third part to the question is process technology. This is where you have to think about American higher education as opposed to new product technologies. When it comes to process technologies we are just behind. It is very hard to find a

process technology, and I looked very diligently, where the United States is the world leader. The best robots come from the rest of the world. The highest automobile assembly line productivities are in the rest of the world. You can find a few petro-chemical processes where the United States is still the world leader in technology but they are few and far between.

Now if you ask why, I think it is something that depends on what goes on both in firms and in American universities. I mean, the last person who went into process technologies from MIT probably retired ten years ago. MIT people don't do process technologies. That's beneath us. We do new product research and design. The wages are higher there, the promotions are faster and that's the way to the top. The problem is you can't make it competitively in terms of price and quality, there aren't any promotions to get. Eventually the research and design money will dry up if you're not successful on the production process side. MIT and other universities in America are now trying to do something in that area to turn out people who have an interest in and the ability to deal with process technologies. But it requires a new "beast".

The other day, the people from Philips, the big electronics firm in Europe called me up and said, "We don't like people who graduate from engineering schools. We don't like people who graduate from business schools either. We think we need a new animal. We understand you have been talking about a new animal. Could we come and talk about what the characteristics of this animal should be?". If you think about that animal, it's got to be someone who's on top of technology and at the same time has the human skills to cause people to actually change the technologies in the way they do things. That's what was done out at the Toyota facility in California. When you talk about process technologies, it isn't a design hardware problem. There is always the human worker problem. If you can't get the workers to adapt and use the new technologies efficiently, you might as well not have them. I guess I would agree with the people from Philips. American higher education needs to turn out a different beast at least for some of what it does. The question is, can we design that new beast?

The final comment I think is more important. I can express it this way. It really has to do with the division between individual and community. That pendulum swings from time to time. We've been way over on the individual side. I think we're going to have to swing back to the community side. We have traditionally looked at American education in two modes. The first mode is it raises individual incomes and individual productivity. The second mode is we think about it in changing people's relative position; getting people out of poverty; getting black incomes equal to white incomes; getting women up to where men are. Those are all important things. But education has another very important role that we haven't been emphasizing recently in the United States and that is creating a high quality team.

I educate my neighbour's children because I'm a hard nosed son of a bitch. I can't afford to live with them ignorant because if they are ignorant, my income is going to be lower than it otherwise would be. That is the message that American higher edu-

cation and American education in general has not been selling in the last fifteen years. We've been selling the individual variant of education. You see it for example in student loan funds. When I went to college you got scholarships. Today you get loans. Some economists will tell you it doesn't make any difference because it means every generation has to pay for one generation's worth of education. What difference does it make whether you pay for your children or you pay for your own. It's all the same. But of course it isn't the same. If you pay for your children's education you are saying -"I understand I have a duty to create a high quality team for the next generation in America." Every generation in America is not in it's own boat and is going to sink or swim based on how well it does or does not do at educating itself.

Now one final comment which takes you back to high school. Remember those SAT exams that some of you probably now give where they used to have a word on one side of the page and there would be eighteen possible synonyms or antonyms on the other side of the page. You had to draw a line from the word to the synonym or antonym that best matched. Suppose the word on this side of the page on this American exam was "leader". On the other side of the page among the eighteen possible synonyms was the word "Rambo". How many Americans do you think will draw a line between "leader" and "Rambo"? I don't know, I've never run that scientific question. I suspect 85%. I'll remind you of two characteristics of Rambo. He was illiterate and he could not get along with any other human being.

Leadership in American Culture
(general session)

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(This is an edited record of an address presented in the Regency Ballroom of the Hyatt Regency Hotel in Phoenix, Arizona, Monday morning, May 16, 1988.)

The key question is: How can you, as institutional researchers, expand the conventional definition of your roles in order to be agents of change? In other words, it is one thing to have the knowledge that you have; it is another thing to use it to maximum effectiveness in ways that you think make sense for your institution. As I see your role, you are typically seen as experts who ordinarily fuel other people in positions of power and influence with information - - as opposed to necessarily being called on to use that information yourselves.

Let me introduce you to the notion of the non-constituted leader. It is a notion I am going to come back to later on. It is someone who assumes a leadership role without being in a formal position of authority which typically makes the leadership task easier. In other words, it is someone who is not appointed or elected to a leadership role but who manages, by maximum use of a variety of resources, to play a powerful leadership role.

Let me introduce you to another concept and that is the notion of the follower. Now, the word 'follower' has a vaguely pathetic connotation. I am not trying to give it that connotation here. I am merely trying to say that the leadership process takes two: a leader and at least one follower. As an institutional researcher, or as any professional of any kind, to the extent that you want to play a leadership role, you are going to have to ask yourselves: Who is it in this particular situation that I need to bring along in order to play my leadership role? Who do I have to get to march in line behind me?

There are three components I would urge you to think about as you analyze your own leadership situation. One is the leader and in this case we are talking about you. We are not talking about the president of your institution or your provost or your superior. We are talking about your understanding of your role, your situation, your strengths and weaknesses, your personality. What are the constraints and what are the opportunities? Second is the follower, and third the situation. The situation must be understood by you if you are going to make a difference. By situation, I mean the larger context which is what I will be turning to in a moment, as well as the specifics of the situation in which you are operating. What is the culture of the institution? What is the history of the institution? What is the structure of the institution? Where are the personalities in general that you are dealing with? The three things to bear

in mind are: the leader, the follower and the situation.

My general comments today are going to be about the culture of leadership in America. It is going to be something of a history lesson grounded in the notion of leadership and trying to make you understand why we are in what I typically call an anti-authority environment. By this I mean, America is an anti-authority or anti-leadership culture. My orientation is political. It happens in the case of leadership, however, not to matter. Leadership is at root a political act in the very best sense of the word political; indeed in the notion of the Aristotlean ideal, politics as high art. I cannot convey to you enough about the importance of an intellectual understanding of what the leadership process is all about and in particular, what leadership is about in this particular country. It will enhance your understanding of what the hell is happening as you are trying to make an impact. Let me move now to my more general comments.

The year is 1988. It is a presidential year. It has been hard for everyone in this room to escape the word leadership. Each presidential candidate is claiming that leadership is what he, yes he, above all can provide. The media drums the message that leadership is sine qua non of electoral success. And we, the American people, have come somehow to buy the idea that leadership will cure whatever ails us. But for people like us, it behooves us to go beyond the packaging, beyond the rhetoric and to ask ourselves what exactly is leadership and how can it be practised in this country.

I would argue and have argued that there are three aspects of culture that are very important to understanding leadership in America. The first one is our national experience, that is American history. How did the United States of America come to be and what has happened to it over its 200 year-old history? The second is our collective and shared underlying belief system. Think for a moment about the impact of certain key words in our political life on how leadership is exercised. Words such as freedom, democracy, individualism and egalitarianism. Not one of these concepts makes the leadership task any easier. Finally, I would ask you to think about how our political institutions are organized in a way that makes the fracturing of government the norm of the day, and coalition and alliances quite difficult. Since I cannot do justice to all the elements that I have mentioned, I am going to begin by talking briefly about the notion of checks and balances, a term that seems on the face of it not terribly interesting, but a term that, if you think about it, is at the root of our anti-authority or anti-leadership culture.

For over 200 years, checks and balances has becomes a metaphor for what we believe about good government and perforce about leadership in America. A check, of course, is a limit on the ability of a single person or agency or institution to exercise too much power. Or put another way, it is a limit on leadership. Similarly, the notion of balance suggests that no single individual or branch of government will be permitted to outdo others in terms of its capacity to do what it or he/she wants to do. What is immediately clear, is how difficult it is to exercise leadership in a country in which the sanctity of checks and balances is so deeply embedded. Generally, the

idea of leadership implies the willingness and capacity to stand out from the rest. Yet checks and balances suggests a system in which standing out is to be discouraged and perhaps even disdained.

In order to understand this political culture that is so suspicious of leadership, it is necessary of course to go back to the beginning. Before 1760, Americans assumed that theirs was a hierarchical society in which it was natural for some to be rich and some poor, some honoured and some obscure, some powerful and some weak. The assumption was that authority would continue to exist without challenge. Then, as historian Bernard Ballyn has noted, the American revolution brought with it arguments and attitudes, endlessly repeated that undermined these premises of the ancient regime. There could be no clinging to a past during a decade in which defiance of the highest constituted powers poured from the colonial presses and was hurled from half the pulpits in the land. The right, the need, the absolute obligation to disobey legally constituted authority had become the universal cry. Rather than obedience, it was now resistance that was encouraged and even revered. By 1776, it was the order of the day to question, to doubt, to challenge and to engage in overt acts of defiance - - all of which was considered justifiable disobedience to authority in all sectors of society.

The desire to constrain authority had an impact of course on the framers of the government; even the presidency was not exempt. The powers of the president were vested in the people and derived from them; the president's authority was circumscribed. This tendency to what I call anti-authoritarianism persisted as it prevailed. Listen to de Tocqueville on the implication of this for our political leadership. I quote:

> When it comes to the influence of one man's mind over another's that is necessarily very restricted in a country where the citizens have all become more or less similar. And since they do not recognize any signs of incontestable greatness or superiority in any of their fellows, are continually brought back to their own judgement as the most apparent and accessible test of truth. So it is not only confidence in any particular man's word which is destroyed, there is a general distaste for accepting any man's word as proof of anything.

The link between our ideology and our leadership emerges even more clearly in what has been referred to as the American creed. Let me go over these words again and ask you to think about the implications of these words for leadership: individualism, egalitarianism, democracy, and freedom. Not one of these concepts or ideas makes the leadership task any easier because they all have at their root the implication that all of us are equal. They all have this notion that we have at bottom a root distaste for taking any man's word as proof of anything. These are ideas that explain even little things, for example, the fact that those who seek power are often labelled in negative ways with jargon that reeks of suspicion. For example, the no-

tion of being 'power mad' or even 'power hungry'. Even to be labelled a power seeker is somewhat a mixed label or a double-edged sword.

A final note on the American culture, a note which I consider too important to leave out. It is that our politics cannot be divorced from our economics anymore than the values that underlie our political life can be separated from those that underlie our economic life. What then about capitalism and how do the ideas underlying this capitalist system in which we operate impact on the ability to practise leadership in America? I am arguing that capitalism romanticises, encourages and rewards the entrepreneur above all. Our students are newly in love with the notion of entrepreneurship. If you think of it for a moment, entrepreneurs are by definition, energetic individualists rather than organization types. Thus, making it in a capitalist society is to stake your private claim. Self-made individuals make it on their own and free enterprise is all about the right of individuals to accrue what they can for themselves in a free for all of unfettered opportunity. Capitalism, in other words, goes hand in glove with a socio-political system that values the rights of the autonomist individual often over the good of the group. The heroic archetype of both is the self-interested go-getter and the self-effacing team player. Thus, submitting to bosses or bureaucrats is part of neither the capitalist creed nor the American creed. For better or worse, our economy matches our politics. Both view with suspicion the right of anybody to tell anybody else to do anything.

What then to do? I have argued that we are at heart anti-authority and anti-leadership. You can assume from the business I practise that I don't believe all is lost. How then to practise leadership in a system in which the legal and also cultural constraints are so great? I'm going to say some words about politics and then I'm going to make links to your own experience in the academy.

Let me repeat that I am talking about leadership in a purely functional sense. There are several debates among those of us who write about leadership and one is the role of morality or ethics as part of the definition of leadership. In other words, can you be a leader if you are not going towards some end that the group also approves of that is also for the good of the group. The archetype here is the Hitler notion or the Hitler concept. There are many of us who deal in leadership that do not think that Hitler was leader. You are looking at one woman who thinks Hitler was a leader, for better or for worse. So, what you are going to hear from me are always comments that are grounded in function rather than in ethics. That's not meant as a lesson but merely the way I do my own work.

To reiterate, the practice of leadership has to be understood as being inextricably tied to the environment or context in which it is exercised. At the largest level, to practise leadership in America is different from practicising leadership in France or Germany or the Soviet Union or in China. At the level at which you are operating, leadership in a very large multi-campus state institution is going to be somewhat different from the leadership skills and tasks that face people if they are in small private institutions. But there are several characteristics that overlap and I will try to touch on these today. For the sake of economy, let me simply borrow two terms that, in my opi-

nion, effectively describe key aspects of what has been called the 'American National Character' and, I would argue, also contribute to our understanding of how leadership can be exercised.

First, there is the notion of the "other directed type". You may remember David Reisman. It's a type that looks to others for cues on how to behave. I would argue that leadership in America is easier if you have some other directed qualities in you. Look at Ronald Reagan for example as the archetype of what Erich Fromm has called the marketing personality. It is a personality that is very comfortable in the American culture and that finds it relatively easy to exercise leadership if that kind of person wants to exercise leadership. I would argue in the days when Ronald Reagan cared more about making a difference, he was very, very good at what he did. I would argue further, that this was in no small part because he had what Fromm called a marketing personality or was in Reisman's terms "other directed".

I bring this up because in an important way the notion of the achetypal American as being something of an extraverted nice guy or gal relates to how to be a leader. We know that presidents, certainly the American President and most university presidents as well, are not able to simply order people around. They can't just say do this or do that. They have to rely on persuasion. How do they persuade? They persuade by employing various modes of inter-personal activity that draw on and play into various aspects of the American National Character. Put simply, leaders play politics.

Interestingly, like the notion of power, politics is typically also considered somehow sullied. Politics is ordinarily equated with dirty politics and to be labelled a politician is to be labelled also at least slightly suspect. Yet, politics is the grease that lubricates our system and politicking is the process by which a leader can lead since politicking is a prerequisite to political leadership in this anti-authority culture. Opportunities are enhanced for those in positions of leadership who have the capacity to play politics and to understand, if only intuitively, that this act of playing politics is the key to getting at least the most important items on their political agendas through the system.

For leadership then we must look to those, often but not always, in positions of authority and power who are supposed to be in personal contact. They must garner support in order to get to where they want to go. This is not to dismiss the importance of the public at large. Rather it is to emphasize that playing interpersonal politics and drawing on the main themes of the American National Character are indispensable requisites for the practice of leadership in an anti-leadership culture. A study I did for a book of mine called The Political Presidency supports the theory.

For the purposes of this particular volume, I asked how successful were the six most recent presidents: Kennedy, Johnson, Nixon, Ford, Carter and Reagan in reaching what they themselves had designated the most important goal on their domestic agenda. In Kennedy's case, it was aid to education. In Johnson's, the war on poverty. In Nixon's the family assistance plan. In Gerald Ford's, the tax cut. In Jimmy Car-

ter's, the energy package. And in Ronald Reagan's, budget cuts.

These case studies revealed what I consider an astonishing array of what can be termed leadership mistakes. They included:

1. A lack of intellectual understanding that personal politicking is important.

2. An inability to act on the personal relationships so important to the ability to persuade.

3. A failure to keep the number one item at the top of their domestic political agenda.

4. Inconsistency.

5. Unwillingness to use political muscle.

6. Drowning priorities in what can be termed "agenda overload".

7. Inability to articulate their aims clearly, consistently, concisely, and constantly.

8. Failure to gain support from their own teams.

My own investigation revealed that only two out of the six men did a really first class job of bringing both the American people and the political elite along to where they wanted them to go. In particular these two presidents:

1. Assembled a team both competent and committed.

2. Directed that team to develop policy and implement strategy.

3. Created a favourable national climate.

4. Engaged the political elite in two-way influence relationships so that policy became law.

Let me move back now to the world of higher education. So far as I have been able to determine from the literature on higher education, there are three prevailing themes in that literature.

Theme 1: Colleges and universities are in trouble.

Theme 2: The single most important element in addressing the travails of higher education is the effective leader.

Theme 3: Leadership in higher education is difficult to exercise. Reasons include: federal and state controls; faculty; many objectives to be met; ambiguity of goals; declining fiscal resources; less consensus; fractionalization.

There is a point at which the world of politics and the world of higher education may be said to coincide. For while the point is often made that colleges and universities are unique kinds of organizations differing in major characteristics from industrial organizations, government bureaus and business firms, it is nevertheless true, that there are powerful similarities between institutions of higher education and other institutions located in the same culture at the same moment. What may be said, then, is that in a general sense, what political science has broadly defined about how to exercise leadership in a democracy, pertains to academic organizations as well.

I will illustrate the point by singling out two areas for brief comment. First, just as the literature on higher education is preoccupied with the constraints on leadership, so is the literature in politics. I have talked about the difficulties of exercising leadership in the American political culture and I made reference to why. Similarly I might also refer here to the social and political changes that took place in this country in the late 60's and early 70's which many seem to feel further contributed to a decline of authority. Thus, do we learn why the crisis of leadership in the academy is not unique to the academy or to any particular organization. I would even go so far as to propose that the anxiety that prevails in much of the literature on higher education stems from the generally unrecognized gap between the educational leaders who are expected to undertake rescue missions and what it is they will actually be able to accomplish.

The second connection between the worlds of politics and higher education to which I will point is really a consequence of the first. That is, the equation made by writers and thinkers in both fields between politicking and leadership is the direct result of how hard it is for today's leaders to get anybody to do their bidding.

Now, for those of you who are institutional researchers as I said at the beginning, there are really two primary constraints under which I see you operating. One is the definition of a role that does not typically carry with it the notion of great weight. The second is what you have now come to understand is my impression of the larger culture as a whole, a culture which makes leading difficult even under easier circumstances than those in which you typically operate.

Rather than leave you with only this anti-authority legacy, let me also provide you with some handy-dandy tips. I use a kind of colloquialism because they really are tips, but they are tips which should not be taken lightly, as they are of extreme importance. There are ten different ways in which sources of power are available to each of you, that is sources of power available to those who are not in positions of power. To illustrate each of the ten sources of power available to every one of you sitting in this room, I will also mention some names that I think will be familiar to you. These sources of power were available to these people who had no power whatso-

ever to begin with. These sources of power are available in our culture, a culture which I have argued is in important ways not supportive of those who want to stand out by exercising leadership. Let me go through these ten sources of power available to all:

1. The power of a good idea. As an illustration I draw to your attention the name of one Candy Lightner, Mothers Against Drunk Driving, MADD. Candy Lightner was a mother whose child was killed by a drunk driver. She saw no organization that dealt with this issue. It was the power of a good idea and through that power this woman changed the norms about drunk driving in the United States.

2. The power of moral suasion: the sense that you are right, the sense that what you are arguing for and the direction in which you want to take people is a good, right, and just direction in which to go. The power of moral suasion is being on the side of the angels. As one example, Harriet Beecher Stowe, who wrote Uncle Tom's Cabin.

3. The power of passion. The power of being so persuaded and convinced of what you believe that even though it isn't easy for you, other people have to take you seriously. In this category of the power of passion, I put Alice Paul, a woman who, in the Wilson administration, went to prison for the right of women to vote.

4. The power of knowledge. This power base makes you experts, you know something that other people in your institution don't know. The question is how to use that power in ways to convince other people to go along.

5. The power of the good listener. All of us can gain power by paying close attention to what other people around us are thinking and feeling. It becomes then a source of knowledge. Listen to what is going on around you. Listen the way a good therapist or a good teacher does. By listening you learn and you use this knowledge.

6. The power of organization. I recommend the books by Saul Alinsky on how people who have no power can organize to give themselves power, grassroots politicking.

7. The power of numbers. If you want to lead, get others to go along by talking with them. Forge alliances. Convey the impression that what you believe to be the case is shared by a lot of other people as well. Do your homework, get the numbers behind you.

8. The power of character. The names I have down here are Mother Teresa and Gandhi. Who you are, how you behave, and what you do - - these are things which merit the attention of those around you and which will enhance your leadership capacity.

9. The power of commitment and the power of perserverance.

10. The power of a clear vision. Betty Friedan came from no place but had a clear vision, a clear sense of purpose.

I leave you with what could be called a mixed message. I hope you have a clearer understanding of why it is not easy to exercise leadership in this country. However, these cultural constraints, these positional constraints, and these role constraints, do not mean that you cannot exercise leadership. There are sources of power available to every single one of us. If only we choose to draw on them.

Living Nervously: Institutional Research as the President's Bodyguard
(general session)

John S. Daniel, President
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(This is an edited record of an address presented in the Regency Ballroom of the Hyatt Regency Hotel in Phoenix, Arizona, Tuesday morning, May 17, 1988.)

This decade has seen many countries express concern about either the leadership of their universities or the management of their universities or both. Four examples will suffice: two are calls for better management; two are calls for better leadership.

In October 1987, the New Zealand Universities Review Committee reported after a thorough examination of the performance of that country's universities over the last 25 years. The Committee concluded that: "The New Zealand Universities need to make their management structures more overt, more vigorous and more flexible.".

Among the specific recommendations were the following:

> Internal Management Structures:
>
> That each university:
>
> 1. Appraise its managment structure to ensure that it has effective mechanisms for preparing long-term academic, financial and physical resource plans.
>
> 2. Establish a small planning and resources committee, chaired by the vice-chancellor, to spearhead this endeavour.
>
> 3. Set up the requisite managerial structures for implementing and monitoring these plans throughout the university at appropriate levels of decentralization in order to combine responsibility with accountability.

Elsewhere the New Zealand Committee also recommends greater use of performance indicators in universities. This idea was probably borrowed from Britain where the Steering Committee on Efficiency Studies in Universities, also known as the Jarratt Committee after its Chairman, recommended in 1985 that:

> A range of performance indicators should be developed, covering both inputs and outputs and designed for use both within individual institutions

and for making comparisons between institutions.

Two years later tables on 39 such indicators had been published and a joint committee of the University Grants Commission and the Committee of Vice Chancellors and Principals is developing further indicators.

While Britain and New Zealand have emphasized the need for better management, the more common cry in North America has been for better leadership. In Canada, for example, William Sibley has urged that stronger presidents with longer terms of office will be needed for the more active and dirigiste style of management that universities now require. In the United States calls for better leadership abound. A Carnegie Report early in this decade stated that the rebirth of strong leadership "may well be the central question facing American higher education". No less an authority than Clark Kerr believed at the beginning of this decade that leadership was the greatest problem facing higher education in the United States.

As we near the end of the decade it does not seem that the problem identified by Clark Kerr has been solved. The recent report Higher Education and the Public Interest: A Report to the Campus by Gerry Quehl of the Council for the Advancement and Support of Education concludes that U.S. higher education faces a challenge of substance, not merely a challenge of communication. A key concern of the Quehl report is that the overwhelming demands that universities put on their president pull them away from their principal task of providing leadership.

My aim is to suggest how institutional researchers can help presidents be better leaders. I shall examine briefly the nature of the presidency in order to set the scene for exploring how presidents can be helped by information institutional research (IR) can provide. I have entitled this paper "Living Nervously: Institutional Research as the President's Bodyguard". I mean by that, if I may use a good Canadian analogy, that a good president will have to take the risk of skating on some very thin ice. Institutional researchers should be out there skating alongside and pointing out where the ice will hold. To use a different analogy that more closely parallels the day-to-day experience of the Secret Service, the president will have to run the gauntlet of academic snipers within the institution, and disgruntled community guerillas outside, who would like the opportunity to get a clear shot. Others would like to mix poison in the academic plan or disrupt the decision-making process with the intellecual equivalent of a bomb threat. IR can help to ensure that the president finishes her or his mandate not only unscathed but triumphant.

The Presidency

How should we understand the role and task of the individual chosen as president of a university? There is now a growing literature on the subject. As an incumbent president I naturally tend to take more seriously the writings of those who have actually done the job. The problem, however, is that many who write about the presidency do so after they've left the job, sometimes in controversial circumstances, when the temptation to self-justification is strong.

There is also a research literature on the presidency. A paper by Lawrence Cote on the Relative Importance of Presidential Roles is an example. Cote surveyed presidents and board chairs in order to find out what were the most important presidential roles. The top four out of twenty choices were:

1. Visionary: articulating a vision of what the institution can be; making it happen.

2. Trustee rapport builder/advisor: fostering good trustee relationships.

3. P.R. specialist/image builder: promoting a positive institutional image.

4. Fundraiser: co-ordinating personal solicitation of funds

I have no argument with the importance of these roles. But how does a president create a situation where the roles can be played effectively and how can institutional researchers contribute? I find the most valuable guide in this area is James Fisher's book, Power of the Presidency. A good leader likes power and is more interested in having an impact on events than in personal achievement or in being liked. We assume that in a university the desire for impact arises from a need to influence the behaviour of others for the common good. In other words, we assume a university leader will use power with noble motives and not just as an exercise in vanity.

For Fisher the idea that conditions in universities are simply not appropriate for good leadership is just a cop-out. People want the president to get out in front and lead. Directive leadership is more effective than non-directive. Since faculty know that the president has the final say on many issues, they distrust the "nice guy" who pretends to make all decisions democratically. People want an astute, strong, assertive figure who involves them in the decision-making process but makes the final decision and accepts responsibility for it.

Successful presidents appear to have the following characteristics:

- Sense of humour
- Above average intelligence
- Extroversion
- Boldness, courage, fortitude, willingness to take the initiative
- Inordinate reserves of energy and stamina
- Unusually good physical condition
- Poor or middle income background
- Forties rather than fifties
- Has taught fewer years (less than five years)
- From a non-traditional discipline
- Sense of mission
- Superior judgement
- Decisiveness

- Knowledge
- Fluency of speech
- Shares credit for success, absorbs all blame for failure
- Seeks responsibility

Some of these qualities are not intuitively obvious but most come as no surprise. Institutional researchers may not get to choose the presidents of their institutions but can encourage those who do to bear this list in mind. However leadership is a process, not a set of personal qualities.

What can be said about the process of leadership in a university and what message does it have for you? A first point is that appointment makes a leader more effective than election. Appointment creates a sense of legitimacy. Election carries with it the corollaries of opinion polls, daily answerability to the electorate and, of course, electoral defeat. A second point is that leaders who operate less extensively through the organization but retain final authority are more likely to achieve the desired organizational goals. In other words, the president who tries to be one of the folks may soon be asked to rejoin the folks. Thirdly, leadership involves the astute use of the various types of power, which are:

Coercive power:	the use of threats and punishments
Reward power:	the use of recognition and favours
Legitimate power:	the acceptance of practices by a group
Expert power:	the deference to perceived authority
Charismatic power:	based on admiration and liking

At least for leadership in a university setting I agree with Fisher that the most effective president is one "who uses charismatic power in conjunction with expert and legitimate power, along with a carefully measured portion of reward power, and little or no coercive power".

IR as Bodyguard

It is in helping the president maintain charisma and develop expert power that the analogy between IR and bodyguards is most direct. The components of charismatic power are many but the most important is distance. Distance, according to Fisher, means being utterly transparent but always remote. It means not operating extensively throughout the organization, not attending every committee of which the president is an ex officio member. It means using special functions and ceremonial events to create an aura around the presidency. It means giving a sense of occasion to as many of the president's appearances as possible.

To those who are shocked by this, to those who consider such advice to be cynical and calculating let me refer you to the research which shows that social distance from the leader enhances group productivity and, perhaps surprisingly, lessens communications difficulties. Institutional researchers can help to maintain the neces-

sary distance. They are usually close to the president's office in the hierarchy and, since they do operate extensively through the institution, they are important messengers. What IR people say about the president as they carry out their work with different units around campus can enhance or diminish the charismatic power of the office-holder.

Other important elements in charisma are style and perceived self-confidence. IR can't do much about your president's style but it can do something about perceived self-confidence. Most people are perceived to be more self-confident if they are in fact more self-confident. Wise presidents do not "wing it" when addressing groups of any size or significance. IR should ensure, by working with the president's staff, that the underpinnings of presidential speeches are as solid as possible. Ask to receive copies of the president's speeches and make suggestions for improving their factual and research base. Even if at first the IR office does this after the fact it will soon be asked, if it does it well, to help in the preparation of the speech before it is delivered.

This will become even more important the longer the president's term, although the president may not have the sense to realize it. The fact is that for most presidents, especially in smaller institutions, charismatic power will begin to wane somewhere between the sixth and tenth year in office, simply because the president has become a familiar figure and distance is harder to maintain. It is then that the president should have more recourse to expert power which, of course, is the IR area.

But don't wait until the batteries of charisma are already running down. Institutional researchers should take special steps to help strengthen leadership from the moment a new president is appointed. New presidents do need help. By and large presidents receive no formal training for the job, although a very few will have taken advantage of the courses now available in several countries. Even fewer will have already held a presidency at another institution, which is obviously the best training of all.

There are two types of newly-appointed presidents: insiders already on the university's payroll and outsiders coming from another institution. Each group poses different challenges for you. The insider will face the greatest obstacles because he or she will have to discard a previous image as vice-president, dean, or faculty member and assume the presidential mantle. Since the campus community already feels it knows the person there will be less curiosity, less excitement, and less of a willingness to allow a prolonged honeymoon, than if the new president is largely unknown.

Of course IR is also better placed to help the insider who, presumably, is already known. Maybe it is a dean who is already on record with the view that the office of institutional research is an odious excrescence on the university, a carbuncle to be removed from its budget. But even if it is a friend, IR should be at least as eager to discuss how institutional research can help get her or him settled in the president's chair.

The president appointed from outside has all the advantages that go with an assured honeymoon and the chance to create an image from scratch without having first to wipe out the perception in the faculty of arts that he is still that son-of-a-bitch dean of engineering who grabbed all the money. But the outsider faces challenges too, mainly the obligation to hit the ground running without being sure which direction to run in.

The worst advice to give a new president is "wait until you get the feel of the place before instituting any major changes". By then it will be far too late and, like Gulliver in Lilliput, the president will have been tied to the status quo with a myriad of tiny strings. In these changing times very few people expect a president to be a caretaker. Presumably the new president was appointed because he or she was perceived to have the qualities needed to lead the university in good directions. If the search committee did its task well the predilections of the new president may also match the opportunities for the institution but don't take that for granted. The key point is that as soon as the new president arrives on campus and takes over, he or she will be expected to articulate a vision for the institution and possibly identify the key adversary to the attainment of that vision.

I do not need to dwell unduly on the U.S. literature of excellence in management. Since 1982, with that wholehearted enthusiasm we foreigners admire so much, the American people have gone overboard on excellence or at least on talking about it. It began with Peters and Waterman's book In Search of Excellence which has now spawned a minor industry. Robert Waterman has just had another go with his book The Renewal Factor and all over this great nation business writers are urging their own formulae for excellence. The excellence literature urges that what leaders should be about in this day and age is vision and values. A new currency has been given to Chester Barnard's view from the 1930s that a leader's role is to shape and guide values and to harness the social forces in the organization.

Many institutional researchers may feel threatened by much of the excellence literature. Take, for example, the chapter entitled "The Rational Model "in Peters and Waterman's book. It's rather rude about some of the values IR holds dear, such as the value of analysis and of a methodical approach to planning. No doubt some people have taken this to mean that if the president walks about the organization a lot, sends the staff birthday cards and makes inspiring speeches at the Christmas party, all will be well. Actually what is being urged is a better balance between attention to rational process and attention to motivating people. In the IR context this means helping instil a broad, uplifting shared culture through the president's leadership in the articulation of vision and values.

The challenge is that the vision can only have a small number of components which must remain fairly constant over time. There is an epigram "more than two objectives is no objectives". It's also true of vision and values, although vision and values can be much vaguer. Institutional researchers must have a good feel for the strengths, weaknesses, opportunities, and possible futures of their universities which new presidents can use to refine a vision. The new president's vision may embarrass the

IR office by going beyond the facts and making dubious claims, but that's what visions are for. Provided people can recognize something of themselves in the vision that's fine. But there's a problem if the vision the president articulates is too obviously that of his or her previous institution, or if it is so general as to be be vapid.

Identifying adversaries of the institution requires the same care. Railing against a legitimate adversary can be a useful way of rallying and uniting the campus community. My own advice, though, would be that unless there is an imminent threat to the university a new president should wait awhile before going on the offensive. If a new president comes from a place where the civil servants in the state capitol were unhelpful she or he shouldn't visit their sins upon the functionaries in the new state without giving them a chance to establish a good relationship.

Newly appointed presidents are complex beasts. On the one hand they are apprehensive about the challenge and desirous of doing a good job. On the other hand they assume that because they were appointed their own combination of attitudes and values must have special importance. The key task in housetraining them is to help them get outside themselves. They tend to be people who are more turned on by the idea of having an impact on events than by personal achievements, or being liked, so it shouldn't be too difficult to get them to promote an evolving sense of institutional purpose rather than their own hobby horse.

The point is that people, particularly the community outside the university, tend to judge presidents more by the nobility and appropriateness of their goals than by their success in reaching them. This attitude can, to a more limited extent, be transferred to the institution itself. If people see the university headed strenuously in the right direction they will support it even though progress is slow. But there must be some progress, so the president's vision must be mapped on to the realities of the institution and the change publicized as he or she alters the reality.

Let's assume the new president learned about the institution and made an inaugural address that created widespread enthusiasm about the progress the institution is going to make under new leadership. Everyone can now identify at least one principle that the president stands for.

A next step is to find out what the new president reads. Not the novels, but what journals, magazines, circulars go into the president's in-tray. The president has to become an expert on higher education although he or she may not realize it. Some presidents, especially those appointed directly from the faculty, who may be proud of not being mere administrators, consider keeping abreast of their discipline as more noble than getting their minds around the issues of higher education. Personally, I think that on becoming president, one's own academic discipline should assume the status of a hobby for Sunday evenings and summer vacations. The university is paying for a full-time president, not a part-time academic. In some quarters, however, the bias against reading the literature of education, even higher education is very strong. In such a situation the institutional research office might take it upon itself to produce a regular digest for the president's consumption. Its purpose should be to

ensure that the president understands new concepts, such as value-added measurements, criterion-referenced assessment or competency-based education as they appear and is aware of the books that fellow presidents or state civil servants are reading.

IR must get the president hooked on the information it provides. University presidents read or skim an incredible volume of paper and toss out even more. Make sure the IR stuff goes home in the presidential briefcase by making it interesting and important. Good presidents, going as far back as Charles Eliot of Harvard, are gluttons for up-to-date information. Once the president has got a taste for the facts and understood what the job is, the stage is set for creative interaction with the office of institutional research. It will be fun because, as Richard Newstadt said, the sine qua non of innovative policy is controversy.

George Kellar point out, in his celebrated book Academic Strategy, that one way of eliciting quality (and, I would add, stirring controversy) is incisive questioning. The new president will, as he or she gets to know the university and strikes a first budget, have many opportunities to meet with academic departments and other groups. IR is best equipped to provide the president with the questions to ask. If the president shares the belief of lawyers that you should never ask a question to which you don't know the answer, IR may be asked to guess at the department answers and suggest the supplementary questions they should evoke in the president's mind; all good stuff for stirring up the institution and increasing the power of the president as a leader. It may also give the president a taste for planning as he or she experiences the difference between the present reality and visions of the future.

Institutional Renewal

Let me conclude with a few comments about IR's changing role as the president embarks on the task of renewing the institution. Some of these insights come from Robert Waterman's book The Renewal Factor.

We live in an age of stochastic shocks, a fancy way of saying that as the world becomes more interconnected it becomes less predictable. Apparently random events throw plans off course. This both creates the need for continuous renewal and makes it more difficult to achieve. Forecasts seem to contain the seeds of their own failure, and indeed they do, because one of humanity's oldest games is cheating the prophets. Since the Second World War it seems as if the prophecies and trends of one decade have been turned on their heads the next. Hippies grow up into yuppies.

In Canadian higher education we are now living with a telling example of a failed forecast. By now, the pundits of the early 1980s told us, we would be experiencing steadily declining enrolments of full-time students with some increase in part-time. Instead, the Ontario universities experienced a 5% increase in full-time applications last year and have a further 10% growth in demand for next September.

In such an era the key to renewal and success is informed opportunism. It is no use slavishly following a long-term plan. But informed opportunism does not mean total 'ad hocery', it is not an invitation simply to fly by the seat of the pants. Let us examine these two words from the perspective of institutional researchers who want to help their president renew the university.

Informed opportunism puts equal emphasis on information and opportunities. From the perspective of a president I want to suggest, in all modesty, how the information IR supplies can help the presidents to be intelligently and successfully opportunistic.

Start from the idea that one of the best goals a president can set is to make the institution 'the best' in certain spheres of activity. Now that may seem impossible. There are 3,000 institutions of higher education in the U.S.A. How can each one be the best at something? The English poet A.E. Housman said that "the house of delusion is cheap to build but draughty to live in". I can't speak for the United States, but my experience in Canada tells me that it is possible, with proper leadership, for any institution to become the best or the most in certain carefully defined areas of endeavour. This is true in Europe too and I cite the example of the phoenix-like rise of Britain's University of Salford under the leadership of vice-chancellor John Ashworth. Ashworth took over the institution when it was on the ropes after a 40% cut in its grant and within three years made it almost a household word. His option was to divide the functions of universities into three: the ivory tower, the frontier post, and the service station. He decided Salford would be the best at the service station function and pursued the goal with such success that the University now gets 40% of its research income from private and industrial sources. This compares with figures of 9.7% for the University of Arizona, 8.9% for M.I.T. and 16% for the Georgia Institute of Technology.

IR can supply the information that will ensure the president looks for the right opportunities instead of building a house of delusion. The real problem, as Carlo de Benedetti said when he set out to reform Olivetti, is defining reality. Facts are friendly and the past is a prelude to the future. I offer two pieces of advice. The first is to give more attention to output measures, especially those concerning students. In most people's minds IR is associated with input measure of things like how many square metres of classroom space per full-time equivalent student. These are not unimportant but indicators of performance, that is to say what outputs you produce with the inputs, are more vital measures. The second piece of advice is to remember, when presenting data to presidents, that information is difference. Bald information, like square metres of classroom space per student, is meaningless to the average president. What turns presidents on is to know about differences between their own institution's present situation and either its previous standing or the status of other institutions. If facts on a university's performance are presented to its president in a suitably comparative way then areas where distinction or even greatness are possible begin to emerge.

The next step is to find or simply notice the opportunities that can help the institution move toward its goals. This has not traditionally been a task for institutional research

but I think it should be. It does, of course, require a change of attitude, for IR is associated with planning and the planning process tends to choke out opportunities. Planning systems tend to be risk averse and the planning process grinds down ideas that might contain new strategies.

I suggest, therefore, that each institutional research unit should set aside time for curiosity-oriented studies aimed at noticing trends and developments that could present opportunities for the institution. Here I do not mean just local trends. Presidents can easily be so bound up in day-to-day matters that they do not stop to reflect on the meaning of global trends. Take, for example, the most important change that has occurred this year, or even this decade, the drastic change in foreign investment patterns between Japan and the U.S.A. This sudden change in foreign investment patterns obviously has implications not just for universities in the rest of the world but for those in the U.S.A as well. In Canada the prospect of a free-trade agreement between Canada and the U.S. will certainly create opportunities for some universities.

There will be times, of course, when an opportunity occurs, and intuitively seized by the president, before the goals that it allows the university to achieve have been integrated into the institutional vision. This is the equivalent of a head of state making an unscheduled foray into a friendly crowd to shake hands and chat. IR's job as bodyguard is to make everything look normal and ensure that the president's spontaneous decisions do not have unfortunate consequences. If IR has trained them well and given them good information, snap decisions by presidents are unlikely to be completely off the wall.

The best way I can stress the importance of informed opportunism in successful leadership is to relate some of my experiences at Laurentian. Laurentian University is a regional university based in Sudbury, a metal-mining city in northern Ontario. Together with three affiliated colleges it serves an area about half the size of Texas although much of the region contains more beavers than people. It was established in 1960. There are about 5,000 full-time undergraduates, 4,000 part-timers, and two hundred graduate students. It cannot claim to be in Canada's ivy league. It has its way to make.

I arrived at Laurentian as president in 1984 and fortunately did not inherit any development plan. I say fortunately because it was quite impossible in 1984 to forecast the opportunities that presented themselves in the last four years and have allowed us to make parts of our vision into reality.

Our vision of Laurentian University has three key elements:

1. It is Canada's most Canadian university. The population is a microcosm of Canada. (The U.S. equivalent would be Peoria, Illinois.) It teaches in both languages and the students can experience the complex reality of Canada more directly at Laurentian than elsewhere.

2. It is central to the economic and social development of a mining region that was hit harder by the recession of the early eighties than any other part of Canada and which is now making a magnificent recovery.

3. Situated next to the largest metal-mining/smelting complex in the world it is in good shape to become the best in mining education and research.

Some of the unpredictable events that have allowed us to move forward are:

1. A change of government in Ontario after 42 years of Tory rule. New government policies favourable to northern development, mining research, and the expansion of French-language programs have been introduced.

2. The arrival of dynamic new senior staff.

3. The opportunity to create Canada's first campus overseas in southern France.

4. A sharp rise in the price of nickel on the London Metal Exchange.

Even an institution of modest origins can count on an exciting future if its leadership matches information and opportunities in an energetic manner.

I have suggested how IR can help presidents lead their institutions better. IR should not be depressed by the current trends of knocking rationality and planning. Institutions' needs for information have never been greater.

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The Careers of AIR Members
(presidential session)

Laura E. Saunders, 1987-88 AIR President
Director, Planning & Capital Budget, University of Washington

William F. Lasher, AIR Past President (1982-83)
Associate Vice-President, Budget & Institutional Studies, University of Texas-Austin

Joseph T. Sutton, AIR Past President (1972-73)
Executive Director, Alabama Commission on Higher Education

Lois E. Torrence, AIR Past President (1974-75)
Director, Institutional Research, University of Connecticut

(This is an edited record of a session held in the Regency Ballroom of the Hyatt Regency Hotel, Phoenix, Arizona, on Wednesday morning, May 18, 1988.)

Saunders:

I would like to talk about something that combines a long-standing interest of mine with a focus on the kinds of issues that we have dealt with throughout the forum this year; the idea of people and leadership and what that means to the Association.

We have heard our other general session speakers deal with leadership in the broad context in which we function as professionals. Let's turn and look at ourselves for a minute. What I have been interested in is how who we are effects what we are as an Association.

I have been intrigued and troubled by some data we have that show a fairly high drop-out rate from the Association. Our attrition factor deserves a look. We have averaged about four hundred new and reinstated members every year for the last ten or so. Our total membership has grown, but it has grown less than the number of new members. In fact, there are probably about 3,500 people who have been first time members but who did not continue in the Association. If all of them had continued as members and if we had a zero drop-out rate, we would be almost 5,500 members. Somehow we are not holding those people. The question is why.

A few years ago I did a telephone survey with non-renewals to find out where these members were and what they were doing. What I found out was that these non-renewals stopped being AIR members because they saw it as no longer being very closely related to their jobs. Once they had changed jobs, they no longer saw the relevance of AIR. That led me to question why are there so many of us still here for ten, fifteen, twenty-five years. We have changed jobs a lot. The questions are: Why are we here? What are we finding in the Association?

So I set out to identify a group of people who had been members of AIR in 1975-76

and find out what had happened to them. Questions included: Where had they gone? Had they stayed on as members? Of those who had stayed, how had their jobs changed?

Of those who were no longer members, could we find them (which turned out to be a non-trivial task) and then could we find out what they had done. Why had they stopped being members? Was there any relevance between what they had been as institutional researchers and what they were doing today?

In addition to my report on the findings of that research project, I've asked three former presidents: Lois Torrence, Joe Sutton, and Bill Lasher to comment on their careers as institutional researchers or anything else that strikes their fancy about us as members, us as people and us as an Association.

Let's now turn to the data and see what we have found.

This is what I call just slightly more than a casual study. It's not terribly rigorous. Our major problem was in tracking down people. From the 1975-76 directory with 2,200 members, we picked every tenth name and got 226 people. Then I set two secretaries to work for most of the summer to try and locate them. We found fifty-five per cent of them.

Of those we found, about half were still members of AIR. Those were the easy ones. The other half were not. Of those who were no longer members they were largely still found at higher education institutions. What happened to the remainder would be really interesting to find out. We do know that ten of them had died. But outside of that, we are not sure where they ended up. To make a complete cohort tracking we would need to find those people. We had a response rate of slightly over 65% for people who were still members and 53% for those who were no longer members. With these reasonable but small numbers we will need to be cautious about drawing general conclusions.

The first questions we asked our current members were: what did they do in 1975-76 when they were members and what were they doing today. We wanted to get an idea of how their jobs had changed. The pattern we saw for people who were and are members, what we call current members, is that in 1975-76 over half of them were in institutional research only. That is, when they wrote what they did it was just IR without modifiers or descriptors. In 1986-87 when they were asked to say what they did, only 13 or 32% still described themselves as solely institutional researchers.

Where had people gone? They had gone into administration. They had some combined responsibilities. Some of them had retired. Six of them had retired but were still members of AIR. (In view of our general aging population, I think it is interesting that we are continuing to hold as many members of AIR even after they retire. There is something about membership in AIR that spans job changes for some number of us.)

One of the things that had happened that may speak to some other concerns in the Association is that in 1975-76, we had four of the forty respondents who said that they had a combined faculty-IR position. In 1986-87, that was down to one. It may be that one of the reasons we are seeing a decline in the number of manuscripts submitted at the forums is that these combined kinds of jobs are not as frequent. Where it was more normal at one point to have a part-time faculty appointment and do institutional research, budget changes and changes in our institutions have resulted in people taking on additional administrative responsibilities and no longer having the time to do the writing and the publishing that they once did.

Then we asked what the former members were doing in 1975-76. Here we found a clue as to why they are no longer members. First very few of this group, when compared to the group which are still members, were solely in institutional research. There were only five in 1975-76 and there are none in 1986-87. In 1975-76, many were administrators who saw membership in AIR as potentially relevant to their administrative tasks. They did not stay as members of AIR. Many of this group are now completely in administration.

If you are interested in IR as a route into university administration, it is interesting to see the various fields that people moved to from IR. The fields included: development, hospital budget and finance, registration, administering an indirect cost recovery program, class scheduling, personnel, purchasing, and administration of non-academic areas. There were also a vice chancellor for business and finance, facilities planning, even a financial officer for the public schools. People had moved from institutional research-related functions or functions in which they had seen membership in AIR as relevant to their professional job into a variety of university administrative functions.

This finding is very similar to what Mary Corcoran found a few years ago and reported at the Orlando forum. When she tracked people who had worked in her office, she found them spread throughout the institution doing a variety of middle level administration jobs. (Robert Scott, in his ERIC publication of a few years ago, referred to this as the yeoman level of administration.)

Another thing we asked respondents was how their jobs had changed. For current members, I think the changes are all the kind of things you would have expected based on your own experience. About a quarter of the respondents had a completely different job. Many reported more responsibility, more autonomy and a broader range of functions. Use of computers was now pervasive, as was more sophisticated tools and more sophisticated analytical methods. The topics we're working on have also changed. A few have reported that there was just more work now as compared to 1975-76. Four, or 10%, of the respondents said they had less influence and less responsibility. Two of the respondents said that they had essentially the same job as they had in 1975-76.

We asked them whether they would enter institutional research again. Three quarters of the current members said they would. We also asked them if they were

in the same institution. Only ten of the current members surveyed were not at the same institution. They are doing more of the same with more refinement, and more elaboration.

We asked current and former members what they were doing in the way of professional activity in terms of reading and publication. Our members are reading. Almost 80% of them are reading institutional research, but they were not publishing much. Fifteen per cent said they were publishing. For the former members, we didn't ask them if they were publishing. I'm sorry we didn't but suspect very few of them were. Forty-one per cent of the former members reported they were reading institutional research and research literature on higher education.

We asked about overlapping membership between AIR and other professional associations. The current members report the largest overlap with AAHE as an organization. The former members report that largest overlap with NACUBO and NACUBO-related organizations. Both groups mentioned a variety of scholarly associations. Other associations mentioned were the regional AIR's which are a new or much expanded phenomena since 1975-76. Then SCUP, AERA, ASHE, and Phi Delta Kappa were reported both by members and former members. A whole grab bag of other associations also were mentioned. The forty current members reported sixty-nine other associations of which they were members. The thirty-two former members who responded reported forty other memberships.

I also asked a question about degree background and terminal degree. The Ph.D. degree continues to be the sine qua non for institutional researchers for both former members and current members. Seventy-five per cent of the current members and sixty-three per cent of the former members report a doctoral level degree. Most of us have taken that degree in education. Fifty-five per cent of the current members reported a degree in educational administration, higher education and other traditional education degrees. Forty-one per cent of the former members reported a degree in education. The next most frequently mentioned fields were business and management, mathematics, and statistics. A few of the former and current members reported psychology degrees. Then there were a number of other fields including several chemistry degrees.

I asked current members to look back on their careers and tell us what they would like to have had in their academic background. They wanted more statistics, more methods, and more computers. Some said that they were pretty well pleased with what they had. A few mentioned that they would like some management skills training or training in people skills. Those identifying a need for people skills also reported in a followup question that their primary source of satisfaction in their job was working with people.

For the current members who said yes when we asked them if they would enter institutional research again, the predominant source of satisfaction is the exercise of technical skill: finding a difficult problem, solving it, and arranging data in a way that is useful to management. This was followed closely by people reporting that the thing

they liked most about their job was their effectiveness in making a difference in their institution. There were two other kinds of responses. Some people reported that they very much liked the autonomy of being an institutional researcher, being able to pick and choose their own jobs. Others said they liked the variety of tasks. When you combine these responses, the picture is of people who like doing, who like exercising technical skills, who like autonomy, and a variety of tasks.

We did ask the former members why they were no longer members of AIR. Job change was the most frequently cited reason. Some people simply didn't respond. A few mentioned cost or said they'd lost interest or hadn't found it useful, or there was not enough time.

We also asked current members what their goal was for the next five years. The most frequently mentioned response, at thirty-two per cent, was that they expected to be in exactly the same position in five years that they were in today. Twenty-five per cent, (ten of the respondents), said they were going to be retired. Some twenty per cent thought they might have a promotion. Five respondents (or twelve per cent) suggested that they were moving to faculty positions.

At this point I would like to turn and ask our former presidents to reflect on what we know about ourselves and about our Association in view of this kind of data.

Torrence:

I think I will take this opportunity to do a little reminiscing as well as thinking about the future. When my then institution, the American University, in 1963 decided to establish an office of institutional research, one of the best things they did was to send me on a trip throughout New York, Pennsylvania, Ohio, and Michigan to visit a dozen or more offices of institutional research to get some idea of the range of activities, functions, and how they reported. I found it one of the most valuable experiences and I would heartily recommend it.

A thing that stayed in my mind all these years is that institutional research is not a fixed set of activities or procedures. There are very broad options on just what institutional research may be on a given campus. What can be done under the rubric of institutional research depends a great deal on the institutional context and the individual who holds the position. On that trip, one person advanced a cardinal rule. He said, "Never let anyone impose deadlines." Well, that sounded good. The next year when I tried to reach that gentleman, I found he was no longer in institutional research.

At the end of my get acquainted trip with IR, I attended the 1963 national forum on institutional research at Wayne State. It was the third forum sponsored by a rather loosely organized group that was the predecessor of the Association for Institutional Research. The theme of that forum was: "The Role of Institutional Research in Planning". There were special concurrent sessions for public universities, large private in-

stitutions and small private institutions. I think those things all sound familiar.

Some of the grandfathers, or maybe godfathers, of institutional research who were there included A. J. Brumbaugh, Charles Howell, Sidney Suslow, and Elmer West. Among the youngsters at the forum at Wayne State were James Doi, Robert Grose, Stanley Ikenberry, Dorothy Knoell, James Montgomery, and Joe Saupe. Incidentally, there were 184 registered at that forum and that included twelve women. The positions held by the people in 1963, in addition to directors of institutional research, were presidents, provosts, vice-presidents of academic affairs, graduate studies, administration, finance. You name it - deans, registrars, professors, fiscal analysts, planning analysts, research psychologists, and a whole raft of associate, assistant, and "assistant to" titles.

My first year as Director of Institutional Research was a busy one. I outlined that year in a paper I gave at the next forum in 1964 at the University of Minnesota. As I look at that paper, I can't believe all the things that I said I did that first year! Yet I thought that was what you were supposed to do in institutional research. The project that intrigued me the most was a study of the curriculum. We took almost anything you could think of: numbers of courses offered, how many taught by full-time or part-time faculty, average class sizes etc.. I concluded that paper by saying that probably the most significant contribution of my work at that point would be the provision of a constant flow of data for management analysis, especially in academic areas.

I could offer to take you through the next twenty-four forums I've attended but I don't hear any bravos so I'll skip that. Instead, I'd like to talk just a little bit about what's been different from what I had anticipated back in 1963. What are some of the things that have stayed the same and why am I still in AIR?

To the last I would say, I like it and if that makes me Mikey, then I'm Mikey. What has surprised me? Well, just a few examples. Although we had rudimentary computer resources in 1963, I never would have envisioned the extent to which computerization now dominates the way in which we do our job.

Another area I did not expect to be involved in is judicial or quasi-judicial proceedings. The vast expansion of statutory protection of rights brought us into this realm either as experts or as actors. I would not have anticipated being involved in collective bargaining issues either as a part of management or through joint management/bargaining unit studies.

Another unexpected thing is athletics. I always have enjoyed athletics but I never wanted to know as much about each athlete as I now know thanks to the NCAA and its increasingly detailed and frequent reporting requirements.

What has stayed the same? Well, the absolute necessity of having good data and preferably an integrated data base covering all areas. Another thing that has stayed the same is the challenge and the fun of trying to make sense of multiple data sources through analysis useful to top administrators. Another is the fundamental

need to maintain personal integrity and both office-wide and institutional credibility. And finally, the understanding that the academic mission of our institutions is why we exist.

Why have I stayed in IR? I suppose there are a lot of reasons but as I said earlier, I like it. I like the university setting. I liked the people I have worked with. I like the relative independence to decide how to attack a problem. I like the new and challenging issues which keep cropping up. I like being responsible for an office whose job it is to bring together data from all parts of the institution without regard to the fiefdoms which often exist. I like being, at least in some ways, the custodian of institutional memory in an era of rapid turnover among administrators. I like having influence, even without authority.

With respect to AIR, I like the mix of disciplines which you find in AIR. With at least modest apologies to Bernie Sheehan's three hat theory, whether the hats are on a single head or whether they are on multiple heads, I like the mix that you find in this Association. I like the mix of those who advance the intellectual and theoretical underpinnings of institutional research; of those who collect the data; of those who manipulate the data through the marvellous software and hardware available; of those who apply both logic and knowledge to the analysis of data; and finally to the users of our efforts. I think there is a common core of interest for all of these people and I hope that AIR does not become so focused that we lose one or more of these groups.

Sutton:

Lois has always been a very difficult act to follow and her wisdom and experience I can't top. Her analysis and her personal reminiscence have some common elements for all of us who have been in the field. Looking at some of the data that Laura has presented raises the provocative questions: does the Association have too many dropouts; don't we have enough focus; why all the diffusion in positions after ten years? What does this mean for the Association in the future? Or, what does it mean for members of the Association?

It would be interesting to have comparative data from say, NACUBO. But for the sake of this discussion, let's assume that institutional research has more dropouts and diffusion of former members than other professional groups in higher education. Does this mean we need more foucs - - and what are the implications for the Association and for us - - as individual members?

I do not believe these data should be unsettling to us or that they require corrective action. As noted by Lois, the Association has always been a very polyglot organization, very interdisciplinary.

Bernie Sheehan was an electrical engineer where he earned an honest living before he got into administration. Lois was a political scientist. Don Lelong was an econo-

mist.

We also have had a supply of good people who came from the field of education such as Bill Lasher, John Stecklein, and Mary Corcoran. So we bring a whole lot of different kinds of skills and conceptual backgrounds to a job. Now what about the job itself? The job is a many splendoured thing. Even after these years, there is certainly no standard job description or task inventory for institutional researchers.

I cannot think of any issue or any problem associated with a college or university that could not be made into an appropriate topic or project for an institutional researcher. Now this is an important observation. With all this diversity, where is the job focus or specialization? Institutional researchers have not existed forever (except perhaps for a few like Montgomery, Torrence and Stecklein who go back into the dim mists of time). At some time somebody was called an institutional researcher, but I really don't know who or where that was.

The main function of institutional research - it appears to me, is to understand how institutions function. This is a general function, not a special one. This ability to advise somebody in a college or university organization about how to predict or control something of importance is the most generic of responsibilities. Institutional researchers are bright, creative, tough-minded, tenderhearted, diverse kinds of people who enjoy the freedom to think about a variety of problems even though they may be encumbered from time to time by other kinds of obligations.

I got into IR in 1965. I was professor of psychology, teaching statistics and experimental psychology. We got a computer in our little university down in Florida, a big IBM with 20 K memory. I chaired a faculty committee studying the problems that arose in the use of this computer. We concluded that there was nothing wrong with the computer. What we needed were people to understand how to run it better. We looked and couldn't find anybody. So I was asked to become director of the computer center for a year to get this thing all straightened out. But what would I be called? I had recently seen the name of a new university position in the Chronicle called institutional research. So I became Director of Institutional Research with the responsibility of straightening out the computer center. Then I saw an announcement of a meeting in Stony Brook, N.Y. of an institutional research study group. I had to go and find out who I was. There, of course, I met Stecklein, Montgomery, and Saupe.

Institutional research officers were created for all kinds of reasons. Anybody who thinks about problems that relate to institutions of higher education and works on understanding, influencing or controlling them is doing institutional research. That's the IR genotype. Consequently, there is a lot of IR going on by people without an IR title. If a person has the title of an institutional researcher he or she is an IR phenotype and there are some people who have the title who are not doing IR. Ironically, this was true in my own introduction to the profession.

A final observation regarding where I think this Association is going. The easiest prediction is that there is going to be more change, more diffusion, more dropouts in

the Association. However, we will continue to focus on problem-solving. Problems are not going to get less complex or less broad. Most institutional researchers have focused on administrative or management problems in the university. We have aided administrative decision-making more than faculty decision-making. We may have been too limited by the term 'institutional'.

In the City of Montgomery there is a beautiful old railroad station. Going home on leave from army camp during World War II, I went through the station for the first time. It was the biggest, busiest place I had ever seen. Six or seven tracks, trains on all of them. You couldn't walk through the station it was so crowded. Today, it's an office building with a restaurant on the main floor. Why? One observation is that the people who were running the railroad in those days thought they were in the railroad business. It really turned out they were in the transportation business. They were so busy being railroaders that a lot of the transportation business went to other places where the problems of transportation were being solved more efficiently.

Today, many people believe they are in the university business or the college business rather than in the delivery of educational services. Technology, economics, and convenience are pushing the whole higher education process into new complexities. Colleges and universities are sacred to us. But institutions are a cultural and historical phenomenon. Perhaps we should attend more to the delivery of educational services that people want, at a time convenient to them, at a price they are willing to pay, and at a quality that is satisfactory.

Institutional researchers or their successors will solve the problems of how to deliver effective, efficient educational services to people who need it. It is important that a group like this comes and shares experiences, insights, and problems. The networking of diverse people with diverse problems will continue to make the annual forum one of the most beneficial of all national educational meetings.

Lasher:

One of the advantages of being last, as you well know, is that you are not going to say anything new and you as an audience are not listening anyway. I was intrigued by Lois' comment about 1963. In 1963, I was finishing my freshman year in college in Rochester, New York in the spring when the weather finally begins to turn warm. I guarantee you, the last thing I was thinking about was institutional research. I didn't even know what institutional research was at that time.

I think that Laura has raised some provocative questions. It occurred to me that as I have looked at institutional research over the years, I think that institutional research is an administrative sub-speciality that people get into and in the majority of cases are not in very long. It is a way for people to get started in administration. I'm not saying that all of us got started that way, but a lot of us do. And then things happen. We get offers and we move on. If anybody asks me: Is IR a good thing to get into? My answer is always yes. There are a couple of reasons for that: (a) It really gives

you a broad overview of what's going on in the college and university; and (b) It gives you an academic orientation, a faculty orientation. It is important as an institutional researcher to have that.

But whatever you move on to, you have the IR background. I know when I went into the budget business I thought about the budget not as an accountant but as an institutional researcher. IR provides a different approach, a different way of thinking for people that move on to other things. We have institutional researchers, who have moved into many different areas in university administration, not only on campuses but at the system and state agency levels as well.

I think that one of the things that intrigued me the first day of this conference was when I went to the panel right after Dr. Kellerman's speech. She made a statement after observing some of the conversation. She asked a question about whether institutional researchers consider themselves leaders. I think that is a very serious question for us to ponder. Most of us do not have the expectation of leadership as part of our job title. As Director of Institutional Research, you are not really expected to be one of the campus leaders. But you become a campus leader to the extent that you do a couple of things that Dr. Kellerman talked about.

First of all, you develop expertise. (And over time you will develop expertise. You can't help it because the president, or whomever, keeps asking for things, and either you provide them or you don't stay very long.) Second you develop alliances with people around campus. I don't think institutional researchers are tremendously extroverted, dynamic people. As Laura said, we all appreciate a good piece of analysis. I think we enjoy doing that. And in that sense, many of us would rather do that than be in public leadership positions.

So a key to me is: Do we consider ourselves leaders? I think we should. I think many of us are, whether we know it or not. (Ask around on your campus.) But do we perceive ourselves as leaders?

In terms of the one-third turnover in the Association, I prefer to look at the two-thirds who are still involved. Why do we come to this meeting? Past president, Warren Gulko many years ago said that in his judgement the AIR Forum was the best higher education meeting around. And year in and year out, if you look at the topics that are covered, I think there is a lot of truth in that statement.

Why do some of us come even after we have technically left institutional research? We come because of who we are; because we can see colleagues from around the country and around the world that we have gotten to know; because we can find out what is going on in their lives and at their institutions. That is the fun part. This Association will continue even though we have a thirty per cent dropout rate because it offers a good product to a good group of people.

Back in the Saddle Again - The AIRtones!

Back by popular demand - the AIRtones. Returning from their world premier performance at the Kansas City Forum the quartet of: Rich Howard, Director, Institutional Research, North Carolina State University; Bill Lasher, Associate Dean, College of Education, University of Texas-Austin; Greg Lozier, Executive Director, Planning & Analysis, Pennsylvania State University; Don Norris, Vice-President, M & H Group Inc., Herndon, Virginia. Accompanied by roadwoman, Linda "Annie" Mannering, the AIRtones regaled the luncheon audience in the Regency Ballroom on May 18 with some wise words from the West.

The Planner's Song
(to the tune of "The Cowboy's Song" - apologies to Willie Nelson)

Chorus
Mommas - don't let your babies grow up to be planners.
Don't let them do studies and plan for big bucks.
People will hate them and treat them like schmucks.
Mommas - don't let your babies grow up to be planners
'Cause they'll never be home and they're always alone,
Seeking environments to scan.

A planner ain't easy to love.
He's repulsive to hold.
His idea of fun too boring to ever be told,
Policy meetings and data base systems and Maalox day after day.
If you don't support him and he don't die young
He'll probably just fade away.

Chorus

A planner loves scenarios that shine like a clear mountain morning.
They love simulations and programs that churn on all night.
Faculty workload and outcomes assessment,
New duties without extra pay,
A staff that reviles him, a boss who defiles him.
My God, what's the reason to stay.

Chorus

The Factbook Song
(to the tune of "Ghost Riders in the Sky")

An IR gal went walking out, one wild and windy day.
Upon the mall she rested as she went along her way.

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And all at once a mighty herd of faculty she saw--
A waving 'round a factbook yelling, "This is our last straw!"

Yippee Yi Yaaaaaaaaaa!
Yippee Yi Yooooooooooo!
The faculty would have the last say.

The deans were right behind them with their budgets in their hands.
Their data were all different and had some new demands.
The IR gal stood firmly as the deans were closing in.
She knew her data were correct; she was prepared to win.

Yippee Yi Yaaaaaaaaaa!
Yippee Yi Yooooooooooo!
The deans are mighty confident, they would make their day.

The faculty and deans went marching to the President.
They made their presentation but they couldn't make a dent.
The IR gal stood firmly and the fact book won the day.
If only now it would reflect, upon her monthly pay.

Yippee Yi Yaaaaaaaaaa!
Yippee Yi Yooooooooooo!
The IR gal walks smartly.
Her fact book is here to stay.
The IR gal walks smartly.
Her fact book is here to stay.

To the Tune of "Happy Trails"

Some forums are held back east,
Others made west.
It's the way it's done in AIR.
The Phoenix one's among the best.

Happy trails to you, until we meet again.
Happy trails to you, keep smiling until then.

Who cares about the campus when we're together
Just have a drink and make new friends forever.

Happy trails to you, until we meet again.
Happy trails to you, keep smiling until then.

Who cares about the campus when we're together
Just have a drink and make new friends forever.

Happy trails to you---See you in Baltimore!

AIR PUBLICATIONS

Regular AIR publications include:

Research in Higher Education

New Directions for Institutional Research

AIR Professional File

Some of the papers presented at each annual Forum are published in Research in Higher Education or the AIR Professional File.

Suggestions and offers of assistance may be sent to the chairperson of the AIR Publications Board or the AIR Executive Office.

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